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Date of Deposit: February 28, 2007

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Appln. of: D. Schmitz et al.  
 Appln. No.: 09/896,061  
 Filed: June 29, 2001  
 For: Automated Execution System  
 Having Participation  
 Attorney Docket No: 11927/90

Examiner: F. Poinvil  
 Art Unit: 3692

**INFORMATION DISCLOSURE STATEMENT**

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(b), Applicants hereby cite the following reference(s):

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<u>Patent No.</u>	<u>Date</u>	<u>Inventor</u>
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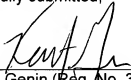
Applicant is enclosing Form PTO-1449 (four sheets), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R. §1.98(a)(3). Applicant respectfully requests the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

Applicants have calculated no fee to be due in connection with the filing of this Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Statement to a deposit account, as authorized in the Transmittal accompanying this Statement.

Respectfully submitted,

2/28/2007  
Date

  
Kent E. Genin (Reg. No. 37,834)



FORM PTO-1449	SERIAL NO. 09/896,061	CASE NO. 11927/90
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>	FILING DATE June 29, 2001	GROUP ART UNIT 3692
(use several sheets if necessary)		APPLICANT(S): D. Schmitz et al.

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number/Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
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	A2	3,581,072	05/25/71	Nymeyer		
	A3	4,412,287	10/25/83	Braddock, III		
	A4	4,674,044	06/16/87	Kalmus et al.		
	A5	4,903,201	02/20/90	Wagner		
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	A13	5,315,634	05/24/94	Tanaka et al.		
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Draw line through citation if not in conformance and not considered. Include copy of this form with next  
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## OTHER ART - NON PATENT LITERATURE DOCUMENTS

(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.

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EXAMINER INITIAL	OTHER ART - NON PATENT LITERATURE DOCUMENTS (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.
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A102	U.S. Congress, Office Of Technology Assessment, "Electronic Bulls And Bears: U.S. Securities Markets And Information Technology", OTA-CIT-469 (Washington, DC: U.S. Government Printing Office, September 1990). (selected excerpts)
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A106	New York Stock Exchange Constitution And Rules (Commerce Clearing House, Inc. New York Stock Exchange Guide) July 15, 1965, pp. 2644-45; 2682-83
A107	R. Teweles et al., The Stock Market, Fifth Edition, John Wiley & Sons, 1987, pp. 176-181
A108	J. Meeker, The Work Of The Stock Exchange, The Ronald Press Company 1923, pp. 108-109
A109	CBOE Information Circular IC91-15, February 25, 1991
A110	Domowitz, Ian, "A taxonomy of automated trade execution systems", 12 Journal of Int'l Money and Finance, pp. 607-631, dated 1993

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